

## CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the below date:  
 Date: 8-9-07 Name: Richard G. Lione, Reg. No. 19,795 Signature: Richard G. Lione

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: Kazumi Okuro et al.



Appln. No.: 10/563,635

For:

January 6, 2006

OPTICALLY ACTIVE HALOHYDRIN  
DERIVATIVE AND PROCESS FOR  
PRODUCING OPTICALLY ACTIVE  
EPOXY ALCOHOL DERIVATIVE FROM  
THE SAME

Attorney Docket No: 5404/133

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**BRINKS**  
**HOFER**  
**GILSON**  
**& LIONE**

Examiner: N/A

Art Unit: 1713

## TRANSMITTAL

Sir:

## Attached is/are:

- Transmittal (in Duplicate); Second Supplemental Information Disclosure Statement; Form PTO-1449; and a Copy of Each Listed Reference for Which a Copy is Required.  
 Return Receipt Postcard

## Fee calculation:

- No additional fee is required.  
 Small Entity.  
 An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_-month extension of time under 37 C.F.R. § 1.136(a).  
 A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_).  
 An additional filing fee has been calculated as shown below:

		Small Entity					Not a Small Entity		
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	or	Rate	Add'l Fee
Total		Minus			x \$25=			x \$50=	
Indep.		Minus			x 100=			x \$200=	
First Presentation of Multiple Dep. Claim					+\$180=			+\$360=	
					Total	\$		Total	\$

## Fee payment:

- A check in the amount of \$\_\_\_\_\_ is enclosed.  
 Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.  
 Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).  
 The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

Richard G. Lione  
 Richard G. Lione (Reg. No. 19,795)

Aug 9, 2007  
 Date

I hereby certify that this correspondence is being deposited on the date noted below with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

*August 9, 2007*

Date of Deposit

Richard G. Lione, Reg. No. 19,795

Name of applicant, assignee or  
Registered Representative

Signature

*Richard G. Lione*

Date of Signature

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Appln. No.: 10/563,635

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Attorney Docket No: 5404/133

Examiner: N/A

Art Unit: 1713

Confirmation No. N/A

## SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(b), Applicant hereby cites the following reference(s):

U.S. PATENT DOCUMENTS		
DOCUMENT NUMBER	DATE	NAME
US 2003/0236419 A1	12/25/2003	Wang et al.

FOREIGN PATENT DOCUMENTS		
DOCUMENT NUMBER Number-Kind Code (if known)	DATE	COUNTRY
GB 2 363 379 A	12/19/2001	Great Britain

OTHER ART – NON PATENT LITERATURE DOCUMENTS
International Search Report from Corresponding International Application No. PCT/JP00/01336, dated May 30, 2000, 2 pages.
Supplementary Partial European Search Report from Application No. EP 04 74 7351, June 25, 2007, 4 pages.

Applicant is enclosing Form PTO-1449 (one sheet), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R. §1.98(a)(3). Applicant respectfully requests the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

By submitting this Statement, Applicant is attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

The Applicant or Applicants have calculated no fee to be due in connection with the filing of this Information Disclosure Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Information Disclosure Statement to a deposit account, as authorized in the Transmittal accompanying this Information Disclosure Statement.

Respectfully submitted,

Date

August 9, 2007

Richard G. Lione  
(Reg. No. 19,795)



FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)	SERIAL NO. 10/563,635	CASE NO. 5404/133
	FILING DATE January 6, 2006	GROUP ART UNIT 1713
	APPLICANT(S): Kazumi Okuro et al.	

**REFERENCE DESIGNATION                    U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
C1	US 2003/0236419 A1	12/25/2003	Wang et al.		

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
C2	GB 2 363 379 A	12/19/2001	Great Britain		

EXAMINER INITIAL	<b>OTHER ART – NON PATENT LITERATURE DOCUMENTS</b> <small>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.)</small>	
	C3	International Search Report from Corresponding International Application No. PCT/JP00/01336, dated May 30, 2000, 2 pages.
	C4	Supplementary Partial European Search Report from Application No. EP 04 74 7351, June 25, 2007, 4 pages.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.